

AEMP-2000-015-PA:LSP/ehs:14512  
Applicant's Substitute for 1449A<sup>7</sup>

# INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(use as many sheets as necessary)

|       |   |    |   |
|-------|---|----|---|
| Sheet | 1 | of | 1 |
|-------|---|----|---|

**Complete: Known**

|                        |                |
|------------------------|----------------|
| Application Number     | 09/610,390     |
| Filing Date            | July 1, 2000   |
| First Named Inventor   | David M. Waite |
| Group Art Unit         | 1722           |
| Examiner Name          |                |
| Attorney Docket Number | 9105-15        |

## U.S. PATENT DOCUMENTS

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## FOREIGN PATENT DOCUMENTS

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Examiner  
Signature

Wm. Thorne

Date  
Considered

3-5-04

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<sup>1</sup> Unique citation designation number. <sup>2</sup> See attached Kinds of U.S. Patent documents. <sup>3</sup> Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>4</sup> For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup> Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. <sup>6</sup> Applicant is to place a check mark here if English language Translation is attached. <sup>7</sup> In-house version of PTO/SB/08A (10-96).

**Burden Hour Statement:** This form is estimated to take 2.0 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. **DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO:** Assistant Commissioner for Patents, Washington, D.C. 20231.

|   |  |  |  |                                       |  |            |  |
|---|--|--|--|---------------------------------------|--|------------|--|
| <b>INFORMATION DISCLOSURE CITATION</b><br>(Use several sheets if necessary)<br><br>Sheet 1 of 1 |  |  |  | Atty. Docket No.<br>9105-15           |  | Serial No. |  |
|   |  |  |  | Applicant<br>David Marc WAITE, et al. |  |            |  |
|   |  |  |  | Filing Date<br>July 1, 2000           |  | Group      |  |

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 07/01/00

| U.S. PATENT DOCUMENTS |                 |          |                 |       |          |                            |  |
|-----------------------|-----------------|----------|-----------------|-------|----------|----------------------------|--|
| *Examiner Initial     | DOCUMENT NUMBER | DATE     | NAME            | CLASS | SUBCLASS | Filing Date If appropriate |  |
| Lmp                   | 4,989,166       | 01/29/91 | Akasaka et al.  | 364   | 578      |                            |  |
|                       | 5,010,501       | 04/23/91 | Arakawa         | 364   | 522      |                            |  |
|                       | 5,553,206       | 09/03/96 | Meshkat         | 395   | 123      |                            |  |
|                       | 4,463,795       | 08/07/84 | Chielens et al. | 164   | 455      |                            |  |
|                       | 6,019,930       | 02/01/00 | Baresich        | 264   | 327      |                            |  |
|                       | 5,411,686       | 05/02/95 | Hata            | 264   | 40.6     |                            |  |
|                       | 5,988,259       | 11/23/99 | Welker et al.   | 164   | 455      |                            |  |
|                       | 5,677,844       | 10/14/97 | Kubo            | 364   | 472.02   |                            |  |
| Lm                    | 5,377,119       | 12/27/94 | Backer et al.   | 364   | 476      |                            |  |
|                       |                 |          |                 |       |          |                            |  |
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| FOREIGN PATENT DOCUMENTS |                 |      |         |       |          |             |    |
|--------------------------|-----------------|------|---------|-------|----------|-------------|----|
|                          | DOCUMENT NUMBER | DATE | COUNTRY | CLASS | SUBCLASS | Translation |    |
|                          |                 |      |         |       |          | Yes         | No |
|                          |                 |      |         |       |          |             |    |
|                          |                 |      |         |       |          |             |    |
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|---|--|
| Examiner<br><br><div style="text-align: center; font-size: 1.2em;">Lm fgonson</div> | Date Considered<br><br><div style="text-align: center; font-size: 1.2em;">3-5-04</div> |
|---|--|

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|  |   |    |   |                          |              |
|--|---|----|---|--------------------------|--------------|
| <p>Substitute for form 1449A/PTO</p> <p><b>INFORMATION DISCLOSURE<br/>STATEMENT BY APPLICANT</b></p> <p><i>(use as many sheets as necessary)</i></p> |   |    |   | <i>Complete if Known</i> |              |
|  |   |    |   | Application Number       | 09/610,390   |
|  |   |    |   | Filing Date              | July 1, 2000 |
|  |   |    |   | First Named Inventor     | David Waite  |
|  |   |    |   | Group Art Unit           | 1722         |
|  |   |    |   | Examiner Name            | Unknown      |
|  |   |    |   | Attorney Docket Number   | 9105-15      |
| Sheet  | 1 | of | 1 |                          |              |

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|                       |                     |                    |        |
|-----------------------|---------------------|--------------------|--------|
| Examiner<br>Signature | <i>C. M. Hansen</i> | Date<br>Considered | 3-5-04 |
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<sup>1</sup> Applicant's unique citation designation number (optional). <sup>2</sup> See Kinds Codes of USPTO Patent Documents at [www.uspto.gov](http://www.uspto.gov) or MPEP 901.04. <sup>3</sup> Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>4</sup> For Japanese patent documents, the indication of the year of the reign of the emperor must precede the serial number of the patent document. <sup>5</sup> Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. <sup>6</sup> Applicant is to place a check mark here if English language Translation is attached.

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| <b>INFORMATION DISCLOSURE<br/>CITATION (Supplemental)</b><br>(Use several sheets if necessary)   |                        |           |                  | Atty. Docket No.<br>9105-15  |          | Serial No.<br>Unknown   |  |
|--|------------------------|-----------|------------------|--|----------|---|--|
|  |                        |           |                  | Applicant<br>David M. Waite et al.   |          |   |  |
|  |                        |           |                  | Filing Date<br>July 1, 2000  |          | Group   |  |
| Sheet 1 of 4   |                        |           |                  |  |          |   |  |
| <b>U.S. PATENT DOCUMENTS</b>   |                        |           |                  |  |          |   |  |
| *Examiner<br>Initial   | DOCUMENT<br>NUMBER     | DATE      | NAME             | CLASS  | SUBCLASS | Filing Date<br>If appropriate   |  |
| wz   | 4,434,837              | 03/06/84  | Winter et al.    | 164  | 468      | <div style="border: 1px solid black; border-radius: 50%; padding: 10px; display: inline-block;">             RECEIVED<br/>             SEP 21 2000<br/>             GROUP 1700           </div> |  |
|  | Ser. No.<br>097250,824 |           | Norville et al.  | 164  |          |   |  |
| wz   | 4,229,210              | 10/21/80  | Winter et al.    | 75   | 10       |   |  |
|  | 4,450,893              | 05/29/84  | Winter et al.    | 164  | 468      |   |  |
|  | 4,457,355              | 07/03/84  | Winter et al.    | 164  | 468      |   |  |
|  | 5,219,018              | 06/15/93  | Meyer            | 164  | 468      |   |  |
|  | 3,840,364              | 10/08/74  | Flemings et al.  | 75   | 63       |   |  |
|  | 3,842,895              | 10/22/74  | Mehrabian et al. | 164  | 49       |   |  |
|  | 3,902,544              | 09/02/75  | Flemings et al.  | 164  | 71       |   |  |
|  | 3,948,650              | 04/06/76  | Flemings et al.  | 75   | 135      |   |  |
|  | 3,951,651              | 04/20/76  | Mehrabian et al. | 75   | 135      |   |  |
|  | 4,089,680              | 05/16/78  | Flemings et al.  | 75   | 129      |   |  |
|  | 4,108,643              | 08/22/78  | Flemings et al.  | 75   | 135      |   |  |
|  | 4,125,364              | 11/14/78  | Stephens         | 432  | 145      |   |  |
|  | 4,174,214              | 11/13/79  | Bennett et al.   | 75   | 168R     |   |  |
|  | 4,345,637              | 08/24/82  | Flemings et al.  | 164  | 113      |   |  |
|  | 4,415,374              | 11/15/83  | Young et al.     | 148  | 2        |   |  |
|  | 4,457,354              | 07/03/84  | Dantzig et al.   | 164  | 468      |   |  |
|  | 4,465,118              | 08/14/84  | Dantzig et al.   | 164  | 452      |   |  |
|  | w                      | 4,482,012 | 11/13/84         | Young et al.   | 165      | 146   |  |
| Examiner<br><div style="font-size: 1.5em; font-family: cursive;">wz</div>  |                        |           |                  | Date Considered<br><div style="font-size: 1.5em; font-family: cursive;">3-5-04</div> |          |   |  |
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| <b>INFORMATION DISCLOSURE<br/>CITATION (Supplemental)</b><br>(Use several sheets if necessary)  |                    |          |                | Atty. Docket No.<br>9105-15        |                | Serial No.<br>Unknown       |    |
|---|--------------------|----------|----------------|------------------------------------|----------------|-----------------------------|----|
|   |                    |          |                | Applicant<br>David M. Waite et al. |                |                             |    |
|   |                    |          |                | Filing Date<br>July 1, 2000        |                | Group                       |    |
| Sheet 2 of 4  |                    |          |                |                                    |                |                             |    |
| <b>U.S. PATENT DOCUMENTS</b>  |                    |          |                |                                    |                |                             |    |
| *Examiner<br>Initial  | DOCUMENT<br>NUMBER | DATE     | NAME           | CLASS                              | SUBCLASS       | File Date<br>If appropriate |    |
| ur  | 4,565,241          | 01/21/86 | Young          | 164                                | 499            |                             |    |
|   | 4,569,218          | 02/11/86 | Baker et al.   | 72                                 | 342            |                             |    |
|   | 4,607,682          | 08/26/86 | Dantzig et al. | 164                                | 418            |                             |    |
|   | 4,709,746          | 12/01/87 | Young et al.   | 164                                | 485            |                             |    |
|   | 4,712,413          | 12/15/87 | Koch           | 72                                 | 361            |                             |    |
|   | Re.32,529          | 10/27/87 | Vives          | 164                                | 467            |                             |    |
|   | 4,838,988          | 06/13/89 | Lang et al.    | 156                                | 624            |                             |    |
|   | 4,530,404          | 07/23/85 | Vives          | 164                                | 467            |                             |    |
|   | 5,529,391          | 06/25/96 | Kindman et al. | 366                                | 145            |                             |    |
|   | 5,585,067          | 12/17/96 | Leroy et al.   | 420                                | 554            |                             |    |
|   | 5,701,942          | 12/20/97 | Adachi et al.  | 164                                | 71.1           |                             |    |
|   | 5,630,466          | 05/20/97 | Garat et al.   | 164                                | 457            |                             |    |
|   | 5,899,567          | 05/04/99 | Morris, Jr.    | 366                                | 274            |                             |    |
| er  | 5,900,080          | 05/04/99 | Baldi et al.   | 148                                | 550            |                             |    |
| <b>FOREIGN PATENT DOCUMENTS</b>   |                    |          |                |                                    |                |                             |    |
|   | DOCUMENT NUMBER    | DATE     | COUNTRY        | CLASS                              | SUBCLASS       | Translation                 |    |
|   |                    |          |                |                                    |                | Yes                         | No |
| ur  | WO95/19237         | 07/20/95 | PCT            | B22D                               | 18/08          |                             |    |
| ur  | EP 0710 515A1      | 05/08/96 | EP             | B21K 1/00                          | B21K 1/38      |                             |    |
| ur  | WO98/23403         | 06/04/98 | PCT            | B22D                               | 17/30          |                             |    |
| ur  | WO00/05015         | 02/03/00 | PCT            | B22D                               | 17/08, 1/00    |                             |    |
| ur  | WO99/50007         | 10/07/99 | PCT            | B22D<br>B29C                       | 17/30<br>45/54 |                             |    |
| Examiner<br><br>ur  |                    |          |                | Date Considered<br><br>7-5-04      |                |                             |    |
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**INFORMATION DISCLOSURE  
CITATION (Supplemental)**  
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Sheet 3 of 4

Atty. Docket No.  
9105-15

Serial No.  
Unknown

Applicant  
David M. Waite et al.

Filing Date  
July 1, 2000

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**U.S. PATENT DOCUMENTS**

| *Examiner<br>Initial | DOCUMENT<br>NUMBER | DATE     | NAME            | CLASS | SUBCLASS | Filing Date<br>If appropriate |
|----------------------|--------------------|----------|-----------------|-------|----------|-------------------------------|
| ce                   | 5,925,199          | 07/20/99 | Shiina et al.   | 148   | 538      |                               |
| 1                    | 4,555,272          | 11/26/85 | Ashok et al.    | 148   | 3        |                               |
|                      | 4,494,461          | 01/22/85 | Pryor et al.    | 102   | 464      |                               |
|                      | 4,523,624          | 06/18/85 | Dantzig et al.  | 164   | 454      |                               |
| ce                   | 4,524,820          | 06/25/85 | Gullotti et al. | 164   | 476      |                               |
|                      |                    |          |                 |       |          |                               |
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**FOREIGN PATENT DOCUMENTS**

|    | DOCUMENT NUMBER | DATE     | COUNTRY | CLASS | SUBCLASS                   | Translation |    |
|----|-----------------|----------|---------|-------|----------------------------|-------------|----|
|    |                 |          |         |       |                            | Yes         | No |
| ce | WO 98/30346     | 07/16/98 | PCT     | B22D  | 11/04, 11/10, 27/02, 27/08 |             |    |
| 1  | EP 0 903 193 A1 | 03/24/99 | EP      | B22D  | 17/30                      |             |    |
|    | EP 0 841 406 A1 | 05/13/98 | EP      | C22C  | 1/00                       |             |    |
|    |                 |          |         | B22D  | 17/00                      |             |    |
|    | EP 0 745 694 A1 | 12/04/96 | EP      | C22C  | 1/00                       |             |    |
|    |                 |          |         | B22D  | 17/00                      |             |    |
| ce | EP 0 701 002 A1 | 03/13/96 | EP      | C22C  | 1/00                       |             |    |

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Date Considered

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**INFORMATION DISCLOSURE****CITATION (Supplemental)**

(Use several sheets if necessary)

Sheet 4 of 4

Atty. Docket No.  
9105-15Serial No.  
UnknownApplicant  
David M. Waite et al.Filing Date  
July 1, 2000

Group

Examiner  
Initial**PUBLICATION**

Can "Semisolid Metal Process Eliminates Preformed Billets", by Samuel D. Norville, Die Casting Management, March 1998, pgs. 31-33

Examiner

Date Considered

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